SECTOR #  
**UNITED STATES DEPARTMENT OF COMMERCE****Patent and Trademark Office**Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

| APPLICATION NUMBER | FILING/REPLY DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NO./TITLE |
|--------------------|-------------------|-----------------------|---------------------------|
| 09/282,239         | 03/31/99          | GOLDMAN               | S 19603/1426              |

0262/0510

MICHAEL L. GOLDMAN ESQ  
NIXON HARGRAVE DEVANS & DOYLE LLP  
CLINTON SQUARE PO BOX 1051  
ROCHESTER NY 14603

NOT ASSIGNED

1632

DATE MAILED:

05/10/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION****Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a

☐ small entity (statement filed) ☒ non-small entity is \$ 130

☐ 1. The statutory basic filing fee is:

- ☐ missing.  
☐ insufficient.

Applicant must submit \$\_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. The following additional claims fees are due:

\$\_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$\_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$\_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

☒ is missing or unsigned.

☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43, or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.151(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER: \_\_\_\_\_

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

19603/1426 dlf  
RESPONSE DUE:  
JULY 10, 1999

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Goldman et al.

Serial No. : 09/282,239

Filed : March 31, 1999

For : A METHOD FOR ISOLATING AND PURIFYING OLIGODENDROCYTES  
AND OLIGODENDROCYTE PROGENITOR CELLS



TRANSMITTAL LETTER

Assistant Commissioner For Patents  
Washington, D.C. 20231  
**Box: Missing Parts**

Dear Sir:

In response to the Notice to File Missing Parts of Application Under 37 CFR 1.53(d), which was mailed by the United States Patent and Trademark Office on **May 10, 1999**, enclosed are:

- ☒ A Combined Declaration and Power of Attorney.
  - ☒ A verified statement to establish small entity status under 37 CFR 1.9 and 1.27.
  - ☒ A Request for Corrected Filing Receipt and Copy of Official Filing Receipt (with attachment).
  - ☒ A copy of the Notice to File Missing Parts.
  - ☒ A self-addressed, prepaid postcard for acknowledging receipt.
  - ☒ Fees as calculated below:
- |   |         |
|---|---------|
| FEE FOR (ONE, TWO OR THREE)-MONTH EXTENSION OF TIME | \$      |
| SURCHARGE 37 CFR 1.16(e)                            | \$65.00 |
| ADDITIONAL FEES                                     | \$      |
| TOTAL FEES SUBMITTED HERewith                       | \$65.00 |
- ☒ A check in the amount of **\$65.00** to cover the above fees.
  - ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. 14-1138. A duplicate copy of this sheet is enclosed.

Date: June 2, 1999

Edwin V. Merkel  
Registration No. 40,087

Nixon, Hargrave, Devans & Doyle LLP  
Clinton Square, P.O. Box 1051  
Rochester, New York 14603  
Telephone: (716) 263-1128  
Facsimile: (716) 263-1600

| Certificate of Mailing - 37 CFR 1.8 (a)   |                      |
|---|----------------------|
| <small>I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below.</small> |                      |
| <u>6/2/99</u><br>Date   | <br>Wendy L. Harrold |

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Goldman et al.

Serial No : 09/282,239

Filed : March 31, 1999

For : METHOD FOR ISOLATING AND  
PURIFYING OLIGODENDROCYTES  
AND OLIGODENDROCYTE  
PROGENITOR CELLS



Examiner:  
Unknown

Art Unit:  
1632

REQUEST FOR CORRECTED FILING RECEIPT

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Box: Missing Parts


Dear Sir:

Applicants hereby request a corrected filing receipt for the above-identified application. On the enclosed copy of the official filing receipt, the entity status is omitted. It should read "SMALL ENTITY", per the small entity declaration being filed with the enclosed Response to Notice to File Missing Parts.

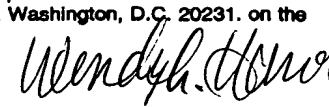
Since Applicants are not responsible for this error, no fee is enclosed.

Respectfully submitted,

Dated: June 2, 1999

  
Edwin V. Merkel  
Registration No. 40,087

Nixon, Hargrave, Devans & Doyle LLP  
Clinton Square  
P.O. Box 1051  
Rochester, New York 14603  
Telephone: (716) 263-1128  
Facsimile: (716) 263-1600

| Certificate of Mailing - 37 CFR 1.8(a)   |   |
|--|---|
| I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below. |   |
| 6/2/99   |  |
| Date   | Wendy L. Harrold  |

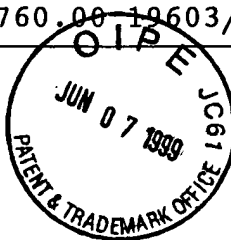
FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTORNEY DOCKET NO. | DRWGS | TOT CL | IND CL |
|--------------------|-------------|--------------|---------------|---------------------|-------|--------|--------|
| 09/282,239         | 03/31/99    | 1632         | \$760.00      | 19603/1426          | 7     | 20     | 3      |

MICHAEL L GOLDMAN ESQ  
NIXON HARGRAVE DEVANS & DOYLE LLP  
CLINTON SQUARE PO BOX 1051  
ROCHESTER NY 14603



Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

STEVEN A. GOLDMAN, SOUTH SALEM, NY; SU WANG,  
PALISADES PARK, NJ.

CONTINUING DATA AS CLAIMED BY APPLICANT-

PROVISIONAL APPLICATION NO. 60/104,809 10/19/98

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 05/10/99

TITLE

METHOD FOR ISOLATING AND PURIFYING OLIGODENDROCYTES AND  
OLIGODENDROCYTE PROGENITOR CELLS

PRELIMINARY CLASS: 435

ENTERED  
NHDD

MAY 14 1999

FILE

DKT

19603/1426

DATA ENTRY BY: WALKER, PARTHENIA

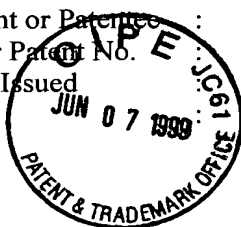
TEAM: 06 DATE: 05/10/99



**PATENT**

Docket No.: 19603/1426 (CRF D-2238A)

Applicant or Patentee :  
Serial or Patent No. :  
Filed or Issued :  
For :



**Steven A. Goldman and Su Wang**  
**09/282,239**

**March 31, 1999**

**A METHOD FOR ISOLATING AND PURIFYING  
OLIGODENDROCYTES AND OLIGODENDROCYTE  
PROGENITOR CELLS**

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(F) AND 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION : **Cornell Research Foundation, Inc.**  
ADDRESS OF ORGANIZATION : **Cornell Business & Technology Park  
20 Thornwood Drive, Suite 105  
Ithaca, New York 14850**

TYPE OF ORGANIZATION :

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE:) (CITATION OF STATUTE:)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA (NAME OF STATE:) (CITATION OF STATUTE:)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled **A METHOD FOR ISOLATING AND PURIFYING OLIGODENDROCYTES AND OLIGODENDROCYTE PROGENITOR CELLS** by inventors **Steven A. Goldman and Su Wang**.

described in

- ☐ the specification filed herewith.
- ☒ U.S. Patent Application Serial No. **09/282,239**, filed **March 31, 1999**.

[ ] U.S. Patent No. \_\_\_\_\_, issued \_\_\_\_\_.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME :  
ADDRESS :

[ ] INDIVIDUAL [ ] SMALL BUSINESS CONCERN [ ] NONPROFIT ORGANIZATION

NAME :  
ADDRESS :

[ ] INDIVIDUAL [ ] SMALL BUSINESS CONCERN [ ] NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any changes in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United State Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: **Richard S. Cahoon**  
TITLE IN ORGANIZATION: **Vice President**  
ADDRESS OF PERSON SIGNING: **20 Thornwood Drive, Suite 105**  
**Ithaca, New York 14850**

SIGNATURE: Richard S. Cahoon DATE: 4/30/89

\*Cornell Research Foundation, Inc., is a Corporation which is wholly owned by Cornell University handling Patents and Licensing.